

The following documents are
handouts distributed at
Evaluation and Merit Training
Sessions

The Evaluation and Merit Training
Manual and Forms are available at

<http://www.hr.uconn.edu/profeval.html>

If you have any questions, contact the
UCPEA office at 487-0850 or
uconn.professional@snet.net.

Annual Report of Activity & Achievement

- Helps supervisors to prepare performance evaluations
- Allows employees to provide information on their achievements related to performance evaluation
- Helps supervisors determine whether to recommend employees for university merit
- Allows employees to describe those achievements they feel should make them eligible for university merit

Article 21.2b

Management may require employees or employees may volunteer to provide an annual report of activity and achievement to be used as a source of information on evaluations.

If management makes such a requirement they must do so in advance of the period for which they want the reporting.

Employees shall be given a minimum of two weeks' notice for providing the requested reports. Final Reports of activity and achievement for an evaluation year must be submitted by April 15th for consideration in the evaluation process.

Key Dates

March 1 – Human Resources will issue notice to employees that they will be required to provide a report of activity and achievement for the following year's performance evaluation cycle. At this time,

March 1 – Supervisors must notify employees that the annual report of activity and achievement for the current year will be due no later than April 15.

April 15 – Deadline for employees to submit Annual Report of Activity and Achievement to the supervisor.

FREQUENTLY ASKED QUESTIONS...



1. What is the **annual** evaluation period?
May 1 through April 30
2. What is a probationary employee?
An employee that is new to the UCPEA bargaining unit. New UCPEA employees serve a probationary period not to exceed one year. Probationary employees are to be evaluated on completion of six months of employment and a final evaluation is done at the end of the probationary period.
3. Can an extension be granted to a probationary period?
Yes. Management can consult with the Labor Relations Unit, on a case-by-case basis. Documentation needs to be provided to justify an extension. The Union will be contacted by the Labor Relations staff when an extension is being considered.
4. What happens in the case of an employee that has converted from the classified ranks?
Any new employee to the bargaining unit is required to serve a probationary period.
5. Can the probationary period be waived?
Normally a probationary period of at least six to nine months must be served. There are exceptional cases in which the probationary period can be waived. Managers should consult the Labor Relations staff, and provide documentation before a probationary period can be waived.
6. Who is responsible for writing and evaluating the employee?
The supervisor most familiar with the work of the employee.
7. Can another UCPEA employee write evaluations?
Yes, if they are in a supervisory role to the employee being evaluated.
8. Should an employee provide an annual report to their supervisor?
Management may require or the employee can volunteer to provide an annual report of activity and achievement. If management makes such a requirement they must do so in advance of the period for which they want the report. Employees shall be given a minimum of two week's notice for providing the requested reports. Final reports must be submitted by April 15th for consideration in the evaluation process.
9. Can an employee respond to their evaluation?
Yes, the employee has the right to append to his/her evaluation a written statement presenting concerns as they relate to the evaluation.
10. Can the supervisor append a written statement?
No.

11. Who is eligible for merit?

Employees that were in the bargaining unit for the totality of the evaluation period: (May 1 - April 30). Employees that served more than six months in a probationary status during the evaluation period are not eligible.

End-date employees that were on the payroll for the full evaluation rating period (May 1 - April 30) are eligible.

Examples:

John Smith was a graduate assistant until he was hired as an UCP 7 on August 7. Since John was not in a bargaining unit title for the totality of the evaluation period (May 1 through April 30), he is not eligible for merit.

Susan Jones was hired as an UCP 4 on March 30. She served a one-year probationary period, which ended March 29 of this year. Although Susan was in the bargaining unit for the totality of the evaluation year, she was in a probationary period for more than six months of the evaluation period. Therefore Susan is not eligible for merit.

Chris Miller is an UCP 6 whose probationary period ended on September 20. Since Chris was only in a probationary period for 5 months of the evaluation year, he is eligible for a pro rata amount of merit.

12. What does the “pro rata” amount mean?

Employees who serve less than 3 months in a probationary period, while the remaining period of the evaluation period they are permanent, are eligible for $\frac{3}{4}$ of the minimum merit.

Employees who serve more than 3 months but less than 6 months in a probationary period, while the remaining period of the evaluation period they are permanent, are eligible for $\frac{1}{2}$ of the minimum merit.

Additionally, employees who receive a pro rata amount of minimum merit may be recommended for and receive discretionary merit.

13. How is an employee eligible for university merit?

An employee must meet 1 or more of the criteria below:

- Whether the employee has significantly advanced the achievement of either the University, division or department objectives or;
- Significantly improved operational efficiencies or;
- Contributed in unique and meaningful ways to the advancement of the profession.

14. Should managers set objectives for the next evaluation period?

Managers should discuss and agree with employees what objectives they will strive for in the upcoming evaluation period. Goals are to be set by both the supervisor and the employee.

15. How often are UCPEA employees evaluated?

Permanent employees and end date employees are evaluated at least once a year (Article 21). Probationary employees are to be reviewed halfway through and at the end of their probationary period (Article 20.)

16. If an employee does a very good job, measured against his/her job description, how much merit will he/she receive?

Employees who receive very good or outstanding are entitled to receive performance merit awards. Performance merit amounts are based on merit increments (MI), with those who receive a very good receiving 1 MI and those who receive outstanding receiving 2 MI. To qualify for university merit, employees must meet the additional criteria set in the contract as determined by management.

17. How can an employee find a copy of his/her job description?

All UCPEA job descriptions are available on the Department of Human Resources web page (<http://www.hr.uconn.edu/clsscomp.html>). Additionally, a newly hired employee is to be provided with a copy of his/her job description (Article 20.2 a). And, upon written request of an employee, a job description shall be provided (Article 21.3).

18. What should the performance evaluation process include?

Performance evaluations should include documentation and appraisal of the employee's performance over the past year, as well as suggestions for improvement. *The written evaluation and cover sheet shall normally be discussed with the employee within seven calendar days of the time they are prepared* (Article 21). The supervisor should take the time needed to thoroughly review the performance review the performance review, listen to the employee's comments and answer any questions the employee may have.

19. Must all UCPEA employees be evaluated using the same form?

Yes. The evaluation form has been approved by the Provost's staff and the UCPEA executive board.

20. Does an employee receive a copy of his/her completed performance evaluation at the time of the evaluation?

Yes. Additionally, *the employee shall normally sign the evaluation within seven (7) calendar days from receipt for the sole purpose of indicating he/she has read it* (Article 21.2 e).

21. How does an employee know that he/she has been recommended for university merit?

There is a check off on the evaluation cover sheet that indicates that an employee will/will not be recommended for university merit. Additionally, the employee receives a copy of the university merit recommendation form, and signs the document to show he/she has received it.

22. Is it appropriate to use merit to make up for discrepancies between one employee's salary and another's when a reclassification is not warranted?

No. Merit is only to be granted as outlined in the contract.

Relevant Contract Language

Article 21. **EVALUATION**

21.1

For the purpose of promoting, maintaining and enhancing excellence in job performance, each department shall provide for evaluations of each UCPEA employee at least once a year. Such evaluations shall permit the continuing assessment of the quality of the individual's performance relative to the required duties described in his/her official job specifications and internal departmental job description (if applicable).

21.2

Evaluation Procedures

- a. The evaluation period shall be May 1st to April 30th of each year.
- b. Management may require employees, or employees may volunteer, to provide an annual report of activity and achievement to be used as a source of information for evaluations. If management makes such a requirement they must do so in advance of the period for which they want the reporting. Employees shall be given a minimum of two weeks' notice for providing the requested reports. Final reports for an evaluation year must be submitted by April 15th for consideration in the evaluation process.
- c. For the purpose of documenting and appraising the employee's performance during the period, as well as for providing suggestions for improvement, each supervisor of UCPEA staff, including supervisors in UCPEA positions, shall prepare a written evaluation with criteria appropriate to that department or work unit. While an evaluation may be done at any time during the evaluation year, one must be prepared and presented to each employee between April 15th and May 1st of each year.
- d. A cover sheet indicating appropriate demographic information and overall rating of performance that reflects the details of the evaluation shall accompany each evaluation. Ratings should be categorized as follows:
 - Outstanding
 - Very Good
 - Good
 - In Need of Improvement
 - Unsatisfactory
- e. The written evaluation and cover sheet shall normally be discussed with the employee within seven (7) calendar days of the time they are prepared. The employee shall normally sign the evaluation within seven (7) calendar days from receipt for the sole purpose of indicating that he/she has read it. Failure to sign may be considered cause for disciplinary action.
- f. An employee shall have the right to append to his/her evaluation a written statement presenting his/her concerns as they relate to the evaluation. This will be attached to the evaluation, become a permanent part of the record, and will be the final documentation associated with the performance evaluation.
- g. In addition to the employee's signature, others shall include the immediate supervisor and the first supervisor outside the bargaining unit, provided they are not the same person. The employee shall be given a copy of the final signed document, and a copy shall be sent to HR by May 15th.

21.3

Upon the written request of an employee, a job description will be provided by the Administration.

21.4

An employee may grieve only those evaluations which result in an overall unsatisfactory rating. If the overall unsatisfactory rating results in disciplinary action and the employee was notified of the discipline at the time of the rating, an employee may grieve under Article 22; however, he/she may not also file a separate grievance on the rating under this Article. During the Article 22 grievance the unsatisfactory rating shall be incorporated into the grievance.

32.2 Merit

For the life of the agreement neither the amount of merit nor the failure to receive merit shall be grievable or arbitrable. Employees who serve less than six (6) months in a probationary period, within the evaluation year, will be eligible for a pro rata amount of merit.

a. Effective the first full pay period in July 2007, the University shall distribute the equivalent of 1.5% of the gross salary account as merit increases to UCPEA bargaining unit members. The merit pool shall be divided as follows: 27.5% shall be distributed as performance merit (previously minimum merit) and 72.5% shall be distributed as university merit (previously discretionary merit). These increases shall be added to the June 30, 2007, base annual salary.

e. In general, university merit shall be awarded to those individuals who meet one or more of the following criteria: 1) whether the employee has significantly advanced the achievement of either the University, division or department objectives; 2) Significantly improved operational efficiencies; or 3) contributed in unique and meaningful ways to the advancement of the profession. The immediate supervisor, regardless of bargaining unit or exempt status, shall make recommendations about merit distribution, but the final awards will be determined by the Vice President or Vice Provost.

f. Performance merit shall be granted to bargaining unit members who receive outstanding and very good evaluations. Performance Merit shall be based on a system of "Merit Increments (MI)", where a Very Good evaluation is worth one increment (1 MI), and an Outstanding is worth two increments (2 MI). The value of an increment shall be determined by multiplying the number of members receiving outstanding and very good evaluations by the number of increments assigned to that rating, summing the total number of increments for the two categories, then dividing the total dollars in the "Performance Merit" pool by the total increments calculated.

g. The percentage pools identified above shall be established on a per capita basis at the level of the Vice President or Vice Provost based on the bargaining unit membership as of March 1 of the fiscal year immediately preceding the distribution.

h. Training on the principles and procedures associated with evaluation and merit distribution shall be conducted annually. A representative designated by UCPEA will participate in this process as a co-trainer.



How to Prepare for Performance Evaluation

- ✓ Review your internal and generic UCP job descriptions
- ✓ During the course of the year, keep notes of your activities and achievements
- ✓ Identify growth activities, education, training or career development activities you have participated in during the year
- ✓ Submit your Annual Report of Activity & Achievement to your supervisor
- ✓ Review your most recent performance evaluation and be prepared to discuss how you have worked toward achieving your performance goals and how you have improved your performance during the year
- ✓ Be prepared to discuss goals for the upcoming evaluation period
- ✓ Be ready to discuss objectives met during the year which you believe should make you eligible for merit consideration
- ✓ Identify what you need from your supervisor to meet his/her expectations



Preparing for Performance Evaluation

- ✓ During the evaluation year, provide on-going feedback to the employee regarding expectations and performance
- ✓ Review the employee's internal and generic UCP job descriptions
- ✓ Remind the employee to submit their Annual Report of Activity & Achievement
- ✓ Keep accurate records of employee performance
- ✓ Don't procrastinate about preparing the written evaluation and scheduling the interview
- ✓ Plan out the interview with adequate detail and allow plenty of time
- ✓ Set consistent follow-up goals between evaluations
- ✓ Honestly assess your own contribution to the employee's success or failure in meeting standards and expectations

Evaluation and Merit Timeline

By March 1

- 1) Human Resources sends notice to employees that they will be required to provide an Annual Report of Activity and Achievement for the following evaluation cycle. Supervisors should reiterate this message to employees.
- 2) Supervisors will remind employees that the current year's report of Activity and Achievement will be due.

March - April 1

Supervisors provide at least two weeks notice to employees for providing the Annual Report of Activity and Achievement

No later than April 15

Employees submit Annual Report of Activity and Achievement

April 15 – May 1

Evaluation must be prepared and presented to employee

May 15

Deadline for supervisors to submit evaluations to designated input person

June 1

Deadline for supervisors to submit university merit recommendation forms to the Division's Vice President or Vice Provost